

Personnel

Employment Regulations

Performance  
Management

**POLICY:**

- .01 Employees, including casual employees, who have worked more than 60 calendar days in any position receive from their group-level or other appropriate manager a written performance appraisal at least once a year.

**APPROVAL:**

- .02 Group-level or higher managers must approve performance objectives, development plans, results, and performance summaries and sign the appraisal. Nonmanager supervisors provide input where appropriate; their signatures on the appraisal form are optional.

**DEFINITIONS:**

**Performance Review Period**

- .03 This is the period of time over which performance is being evaluated.

**Performance Appraisal Period**

- .04 This is the period during which the employee's performance appraisal for the last review period and performance objectives and development plan for the current review period are prepared.

**PERFORMANCE  
APPRAISAL ELEMENTS:**

- .05 The following elements should be present in the performance appraisal:
- Organizational objectives and individual performance objectives that are aligned;
  - Individual development plans that contain development goals connected to group/division goals and to the Laboratory's direction. These plans should include 1) specific actions tied to development goals, 2) metrics to determine progress/completion, and 3) a time frame and resources for implementation;
  - Results and application of the rating scale; and
  - A performance summary.

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Detailed requirements and procedural information are available online. See [the Performance Management System](#).

### Discussion Between Manager and Employee

- .06 Before the performance appraisal evaluation process is completed, the manager and employee must meet to document and discuss the performance appraisal results for the past review period, as well as to establish the performance objectives and development plan for the current review period. Periodic discussion throughout the year about progress on performance and development plans is encouraged. For employees whose performance objectives and/or development plans have changed significantly, applicable portions of the form should be revised.

**NOTE:** Unlike completed, signed performance appraisals, these revisions should not be sent to the Personnel Records Team in the Human Resources Staffing Group (HR-5), but rather kept in the employee's group file.

### Employee's Copy of Form

- .07 The manager who signs the performance appraisal must provide the employee with a signed copy of the completed performance appraisal, including the performance objectives and development plan for the current review period.

### Employee's Signature

- .08 The employee's signature on the performance appraisal indicates that the employee has read and has had the opportunity to discuss the appraisal with his or her manager. If the employee chooses not to sign the performance appraisal form, the manager notes this fact on the form and forwards it to the Personnel Records Team. If the employee is not available to meet and discuss the performance appraisal with the manager because of an absence from work, the manager must attempt to contact the employee and submit the performance appraisal to the employee for his or her review, signature, and/or comment.

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- Employee Comments** .09 Employees have 30 calendar days from the time the Personnel Records Team receives the performance appraisal to submit written comments to their managers (see also [.26](#)). Managers must sign the comments, to indicate that they have read the contents and provided an opportunity for discussion, before placing them in the employee's official personnel file. (*See also* [.08](#).)
- Manager's Addenda** .10 Managers may provide additional comments or addenda to the completed performance appraisal. Addenda are changes made or anything attached to a performance appraisal after the manager and the employee have reviewed, discussed, and signed the appraisal. Before placement in the employee's official personnel file, the employee and the manager must read, discuss, and sign the comments or addendum.
- Complaint Resolution** .11 An employee who disagrees with the appraisal content or the way the appraisal was conducted may request a review by the immediate and/or next level manager. The informal problem-solving resources of the Laboratory are also available. Performance appraisals may be reviewed under [AM 111](#), Complaint Resolution.
- Handling of Appraisal** .12 An employee's performance appraisal is considered personal information and is covered under the California Information Practices Act. *See* [AM 628](#) and [AM 708](#).
- Classified Information** .13 Classified information must not be used in either an employee performance appraisal, in written comments from the employee, or in a manager's addendum.
- Interim Appraisals** .14 Interim performance appraisals may be used at the discretion of the manager. Reasons for preparing an interim appraisal include performance that needs improvement or placement of an employee on the Performance Action Track (*see* [.15](#)).

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- Performance Action Track** .15 If the manager finds an employee's overall performance unsatisfactory, the manager must place the employee on a Performance Action Track. A performance appraisal indicating overall unsatisfactory performance, along with a performance improvement plan, must be given to an employee during the action track period. At the time of this decision, the manager must contact the Staff Relations Group (HR-8) in the Human Resources Division, and an advisor/coordinator will be assigned to assist the manager by acting as an advisor in the fulfillment of this policy.
- .16 ***Performance Improvement Plan*** — A Performance Improvement Plan must be attached to the performance appraisal at the time the employee is asked to sign the appraisal. Two levels of line management, with involvement of the immediate supervisor(s), must sign the Performance Improvement Plan. The Performance Improvement Plan also serves as a Notice of Proposed Termination. The Performance Improvement Plan must include
- Notification of performance deficiencies,
  - Clearly written expectations and goals that the employee must achieve for fully satisfactory performance, and
  - Termination date if performance is not fully satisfactory.
- Periodic meetings to document and assess progress must be conducted. It is recommended that these meetings should be held at least every two weeks.
- .17 ***Duration and Extensions*** - The Performance Action Track can last from 2 months to 6 months and ends either in fully satisfactory performance or termination. Under unusual circumstances the Performance Action Track time frame can be extended with approval of the cognizant division- or higher-level line manager.

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- .18 ***Final Notice of Termination*** - If his or her performance does not reach fully satisfactory, the employee receives a final notice of termination for unsatisfactory performance no less than 5 days before the termination date from his/her division or higher-level manager. The final notice

Restates the performance deficiencies,

Summarizes the lack of sufficient progress on expectations and goals stated in the Performance Improvement Plan,

Offers the employee an opportunity to present any relevant information to his/her manager,

Outlines the termination process, and

States that the employee may pursue a complaint under the Laboratory's formal complaint policy ([AM 111](#)).

### EXCEPTIONAL CIRCUMSTANCES:

#### Transferred Employee

- .19 ***Former Manager's Responsibilities*** — When an employee transfers to a position outside the group, the employee's former manager must complete applicable sections of the appraisal form, discuss the appraisal with the employee, and forward it with signatures to the Personnel Records Team.
- .20 ***New Manager's Responsibilities*** — The new manager evaluates job performance only for the period that began when the employee transferred. Individual performance objectives and the development plan for the transferred employee must be established in writing within 30 days of transfer.

#### New Manager

- .21 It is recommended that a new manager review organizational and individual performance objectives with each employee in the organization within 60 days after a change in management. If there are no significant changes to the appraisal, it is sufficient to document in group files that the discussion occurred and that there are no significant changes.

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| <b>Departing Manager</b>                         | .22 | It is recommended that a departing manager complete applicable portions of the form (i.e., application of the rating scale and the performance summary) for all employees under his or her supervision and give the performance appraisals to the new manager for inclusion in the employees' upcoming performance appraisals.   |
| <br>   |     |  |
| <b>New Employees</b>                             | .23 | During the new employee evaluation period, employees are not subject to the performance appraisal system described in this policy. These employees receive a New Employee Evaluation Period Report. However, when an employee successfully completes the new employee evaluation period, he or she provides individual performance objectives to the manager and the manager creates a development plan for the current review period at the time of the final report ( <i>see</i> <a href="#">.03</a> and <a href="#">.05</a> ). <i>See</i> <a href="#">AM 103</a> , <i>New Employee Evaluation Period</i> .                                    |
| <br>   |     |  |
| <b>Special Employment Program Employees</b>      | .24 | Performance appraisals are required for full- and part-time Special Employment Program employees who have worked on appointments longer than 90 calendar days. If the appointment does not coincide with the normal appraisal period ( <i>see</i> <a href="#">.04</a> ), the performance appraisal form must be completed at the end of the appointment. Managers/mentors may use <a href="#">the Student Development Feedback Tool</a> ( <i>see</i> <a href="#">.29</a> ) for students appointed for 90 calendar days or less (usually summer appointments).<br><br><b>NOTE:</b> Performance appraisals are optional for Laboratory Associates. |
| <br>   |     |  |
| <b>Retirement or Termination From Employment</b> | .25 | Performance appraisals are optional for employees who retire or who terminate employment from the Laboratory before the end of the current performance review period.  |

## Performance Management

### PROCEDURES:

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These procedures effective until further notice.
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#### Employee's Comments

- .26 The employee may attach up to 5 typed pages of comments. The employee's name and Z number must appear on each sheet (*see* [.09](#)).

#### Filing With HR-5

- .27 The original form with the signature of the employee and manager must be sent promptly upon completion by the organization's Human Resources Generalist or appropriate personnel contact to the Personnel Records Team in the Human Resources Staffing Group (MS P235).

#### Forms

- .28 Performance appraisal forms are available on-line. *See the* [Performance Management System](#).
- .29 *Student Forms* — The [Student Development Feedback Tool](#) and the [Mentor Feedback Tool](#), as well as additional information, are available on the [HR Student Web Page](#). Use of these forms is recommended but not required.